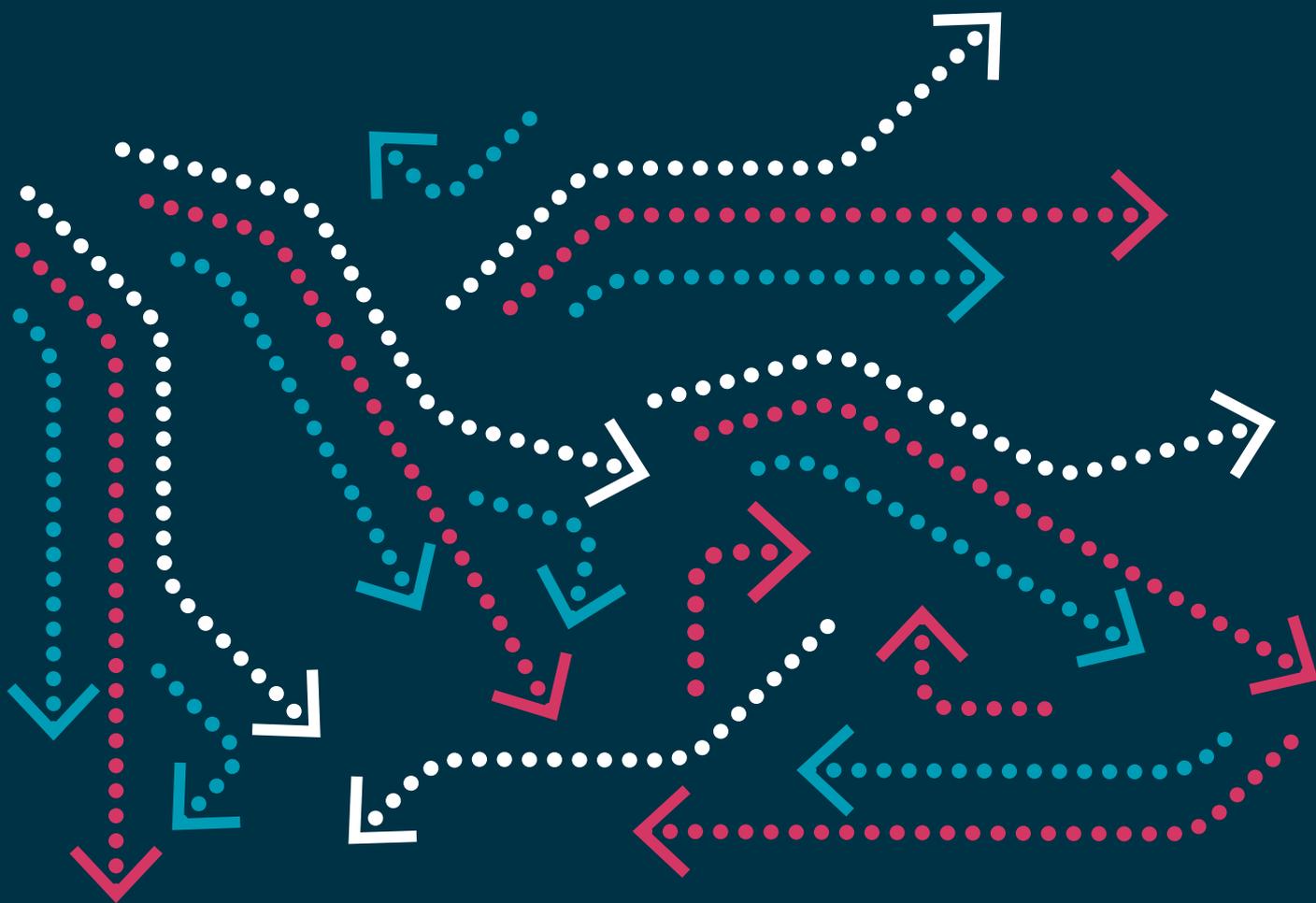


**UNIVERSITIES UK  
OPEN ACCESS  
COORDINATION GROUP**

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**JULY 2018**

**OPEN ACCESS MONOGRAPHS**



**Universities UK**

## **OPEN ACCESS AND MONOGRAPHS**

A report produced by the Universities UK Open Access Monographs working group.

### *Acknowledgements*

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### *Purpose*

This report provides an overview of the open access (OA) landscape for monographs, significant publishing activities, and recent reports that provide an insight into the transition to OA for academic books. It is intended to be read by those who are unfamiliar with OA for monographs, and also those who wish to gain a broader understanding of the benefits of OA publishing.

This report is not intended to cover all contributions or activities of OA monographs. The first half of this report provides a background to OA academic books, reflecting on the current monograph market, UK and international policies before going on to situate the monograph in the context of the UK Research Excellence Framework (REF). Both the benefits and the challenges of OA monographs are also explored in the first section of this report. The second half captures significant reports and developments around OA monographs, providing a snapshot of current activity at a national and international level. The Universities UK Open Access Monograph Group recognises that the transition to OA is constantly evolving, with innovative business models and new reports emerging on an almost monthly basis – nine substantive papers on OA monographs and scholarly publishing have been published in the last year alone.

*Headline findings*

- The monograph holds particular significance to disciplines aligned with the arts and humanities, with scholars reporting that it is ‘important’ or ‘very important’ to publish an academic book.
- Academic books made available OA are accessed more than books that are not. For example, in May 2018 UCL Press reported that the 80 books it had published since June 2015 had been downloaded or viewed one million times. Similarly, Springer Nature reported that download rates from the SpringerLink website are seven times higher for the OA titles than the non-OA titles.
- New publishing routes for OA monographs are being established at a rapid rate, with innovative models emerging year-on-year. This is in contrast to journal articles, which have seen a relatively linear transition to OA.
- The movement towards OA for academic books is a global trend, with the United States of America, Australia, and mainland Europe experimenting and establishing different models to support OA.
- The cost of making a monograph OA varies, as do book processing charges (BPCs). Some publishers offer reduced BPCs for early career researchers (for example School of Advanced Study [SAS] Digital Humanities Library), or cover the costs for their own institution’s authors to publish with their own university press (for example, UCL Press at University College London).
- The report recognises that there are a number of challenges, such as financial costs and issues around third-party rights. An open dialogue with key stakeholders should consider how these challenges are addressed.
- Steps can be taken to improve the discoverability of OA monographs published in the UK. Examples of good practice can be found in Germany, France and the Netherlands, who are achieving a higher ratio of books on platforms such as the Directory of Open Access Books (DOAB) against the number of books published.

*Background to the Universities UK Open Access Monographs working group*

The Universities UK Open Access Monograph Working Group was formed in late 2016 to monitor and evaluate progress towards OA book publishing. One of four OA working groups<sup>1</sup> established under the Universities UK OA Coordination Group, the group's remit is to promote and accelerate cultural change towards OA publishing, promote innovation and diversity in business models for OA monographs, and advise on how best to overcome perceived and actual barriers to OA academic books. The group is chaired by Professor Roger Kain (School of Advanced Study) and includes representation from a range of organisations including Jisc, Wellcome, Research England, the British Academy, the Arts and Humanities Alliance (AHA), the Association for Research Managers and Administrators (ARMA), librarians and publishers (including traditional, commercial, university, and academic-led presses).

There is an opportunity for the Universities UK Open Access Monograph Working Group to establish an open dialogue with the sector with regards to open access for academic books. By engaging with academics, learned and professional societies, monograph publishers and other stakeholders the group aims to foster a dialogue around the perceived and actual challenges of OA, and the benefits that OA offers.

There is a need to understand the work that has been carried out on OA monographs to date, and how this will inform the decisions of the working group. This report synthesises key recent reports and developments in OA monographs and will be used to further engage with the sector and inform the future activity of the working group.

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<sup>1</sup> The other three working groups are: Efficiencies; Repositories; and Service Standards. Minutes and papers from the meetings of the working group can be viewed via the [Universities UK website](#).

## **INTRODUCTION**

The principles of OA publishing aim to make research outputs freely available online as soon as possible, ensuring maximum visibility, discoverability and re-use. The benefits of making scientific outputs OA are broad, and bring about benefits not just to the higher education sector, but to businesses, health industry and the public. The global impact of OA is such that scholarly articles written by researchers in the UK can be discovered and downloaded across the world.

So far OA has focused mainly on scholarly and scientific articles. The Universities UK report 'Monitoring the transition to open access' (2017) shows that 37% of articles written by researchers at UK universities are made freely available to the world immediately upon publication. Increasing to 53% after 24 months, the UK is well above the global average of OA publishing for scholarly articles.

OA for journals has taken place incrementally, with policy makers and funders taking careful consideration over appropriate policy exceptions to ensure that high quality research continues to be published. Developing policy for OA monographs will likewise require careful consideration to understand what is in scope and what is out of scope for future requirements of OA monographs.

### *Open access and monographs*

We draw on a definition of a monograph as set out by Geoffrey Crossick (2015) and Jisc (2017). Defined as an academic book written on a single research topic or subject that is usually between 80–100,000 words, the monograph provides a detailed examination of a specific topic, with a carefully constructed presentation of evidence and contextual analysis. The term is also used more broadly to include edited collections of research essays, critical editions of texts and other works. It may also include other types of research such as scholarly exhibition catalogues (Crossick, 2015). The monograph holds a particular significance to scholars in the arts and humanities, with 66% of researchers having published an academic book, and 95% considering it 'important' or 'very important' to publish a monograph (OAPEN-UK, 2014).<sup>2</sup>

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<sup>2</sup> The report includes researchers across varying career stages, from PhD and postdoctoral level; to readers and the professoriate.

In moving towards OA, it should be made clear that the intention is not to wholly replicate the OA model used for journals (although there may be valuable lessons from these processes). Monographs are complex, longitudinal pieces of work and authors, publishers and funders should recognise that there is no ‘one-size-fits-all’ solution. Furthermore, printed books may continue to be preferred for extensive reading and may form a part of OA monograph business models (Crossick, 2015): the purpose of an OA model is not to wholly replace physical copies of the text, but to encourage the wider dissemination of knowledge, making research freely accessible in the public domain.

Certainly, research has shown that making books available in OA has a direct positive effect on their usage and discoverability (Ferwerda, Snijder and Adema, 2013; Lucraft 2017; Emery et al., 2017).<sup>3</sup> OA has also led to an increased usage of books by readers and institutions in countries (such as the Global South) that struggle to access academic work (Gatti, 2013; Snijder, 2013; Tennant, 2016).

### *The monograph market*

Michael Jubb’s, *Academic books and their futures* (2017), reports that retail sales for print and digital books in the UK in 2015 amounted to £1,049 million, or just under a third of total book sales of all UK publishers.<sup>4</sup> Evidence from the Publisher’s Association and Nielson (and a range of other sources) makes it clear that while the number of monograph titles published annually – especially in the UK – has increased in the last decade, sales have not kept pace, with sales per title falling. Sales figures for subject areas covered by Main Panel D of the REF (Arts and Humanities) show a drop of 13% from 4.34 million in 2005 to 3.76 million unit sales in 2014 (Jubb, 2017; data provided by BookScan). Although the number of individual titles sold rose by 45% from 43,000 to 63,000, sales per title (on average) have declined.

With sales of monographs falling and the publication of individual titles often based on print sales of 200 or fewer, some now question whether the current model is even viable and for how long (Jubb, 2017). With publishers and universities looking for new ways to publish academic books in an open research environment, ‘open access is a possible route to salvation’ (Ayris, 2017) to ensure the survival of the monograph.

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<sup>3</sup> The recent report published by Emery et al. (2017) on ‘The OA Effect’ concludes that publishing a book with Springer Nature leads to 7 times more downloads, 50% more citations and 10 times more online mentions than publishing a book through the traditional closed route. There is a need to be cautious with book download and usage data though, as [Rupert Gatti has outlined](#).

<sup>4</sup> The figures presented in Jubb’s report are for retail sales in the UK only and do not include overseas sales or library sales.

## *Open access monographs: report and recommendations*

OA is becoming increasingly established as an option for monograph authors, but unlike journal articles, it is not yet widely available across the entire publishing community. Most academic publishers publish ebook editions (in PDF and ePub) formats, as well as print, and revenue from ebooks accounts for around 20% of total income for most academic publishers. Most commercial and university presses offer OA options, with publishers typically charging an author-facing publishing charge, the book processing charge or BPC, the equivalent of the article processing charge (APC) model in journal publishing.

### *Open access monograph policies*

The Wellcome Trust acknowledges that monographs are a 'vitaly important and distinctive vehicle for research communication and must be sustained in any moves to OA'.<sup>5</sup> Wellcome mandates all monographs published under research funded by the Charity Open Access Fund (COAF) and have published a guide for OA monograph authors (in partnership with Jisc and the AHRC). They also work with OAPEN to increase the reach of these monographs in inter-disciplinary areas around medical research (KU, 2017).

The OA policies of the seven research councils (the former RCUK) does not mandate OA academic books, but does allow researchers to claim for BPCs as part of their grant applications. The Arts and Humanities Research Council (AHRC) previously supported OAPEN-UK – a Jisc Collections projects on OA scholarly monographs in the humanities and social sciences – through funding and support specifically in relation to humanities monographs.

In December 2016 the four UK Higher Education Funding Bodies<sup>6</sup> signalled their intention to move towards a requirement for OA monographs in the Research Excellence Framework (REF) after next (expected to take place in 2027 or 2028). The four funding bodies believe that the benefits that OA has brought to journal articles should be extended to monographs and other long-form publications. OA has brought substantial benefits to scholarly communication in journals; within reason, and as far as is practical, it is right that other research outputs are required to take advantage of open-access options.

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<sup>5</sup> [Open Access at the Wellcome Trust: a guide for publishers](#)

<sup>6</sup> These are: Research England, the Higher Education Council for Wales (HEFCW), the Scottish Funding Council (SFC) and the Department for the Economy, Northern Ireland (DfE).

Whilst setting the direction of future policy for the REF after next, the four funding bodies also recognise that there will be legitimate reasons why some monographs cannot be OA. For example, there may be a lack of OA publishing options for some monographs; challenges created by significant dependence on the inclusion of copyrighted third-party material in the monograph; or a substantial dependence on royalty payments for sustaining an author's research endeavours.

A diverse range of business models are used in delivering OA for academic books and any future policy requirement should not rely on one particular model – there is no 'one-size-fits-all'. The funding bodies recognise that author-facing publishing charges are high and cannot work at scale; business models for OA monographs should be cost-effective and scalable, paying due attention to the need for the monograph publishing ecosystem to remain sustainable, innovative and diverse (HEFCE, 2016).

### *International policy*

On an international level, members of Science Europe (SE) adopted a set of 'Common Principles on the Transition to Open Access to Research Publication' in April 2013, endorsing and committing to actions to contribute to a transition to OA. Although these principles did not refer to monographs, SE does include books in its definition of OA in the SE Roadmap as "unrestricted, online access to scholarly research publications (including books, monographs and non-traditional research materials) for reading and productive reuse, not impeded by any financial, organisational, legal or technical barriers" (KU, 2017). Furthermore, SE have also established a working group tasked with putting forward a set of principles and recommendations with specific reference to driving forward the agenda for OA monographs.

In the Netherlands, a National Plan for Open Science was set out in 2017, which aims to achieve OA for all scientific publications by 2020. The Netherlands Organisation for Scientific Research (NWO) already mandates OA for publications (including books) resulting from research grants.

In Austria, the Austrian Science Fund (FWF) was an early signatory of the Berlin Declaration on OA to knowledge in the Sciences and Humanities. The FWF (a public research funding agency) first began mandating OA to scholarly publication ten years ago, in 2008. This mandate includes monographs, requiring deposit in an institutional or subject repository.

Switzerland have recently implemented a mandate for OA books, a decision which was widely informed by the [OAPEN-CH](#) pilot project (launched in 2014) which published its findings earlier this year. Significantly, the project found that making digital copies of scholarly books freely available had no impact on the sales of print versions.

In July 2018 at the annual LIBER conference, Madame Minister Frédérique Vidal, the French Minister for Higher Education and Research and Innovation, unveiled a National Plan for Open Science. The plans will make OA mandatory when publishing articles and books resulting from government-funded calls for projects.

### *Academic books and the REF*

The academic book is of particular significance to scholars in the arts and humanities and in the social sciences. A recent study by Simon Tanner (2016) shows that books and book chapters make up at least 30% of the REF2014 submissions in all the subpanels of Main Panel D and that in some disciplines this rose to over half: History 53%, English Language and Literature 59%, Theology 60%. (BA, 2018).

Tanner's analysis of outputs submitted to Main Panel D (Arts and Humanities) for REF 2014 provides some useful figures that can be used to contextualise the current monograph landscape.<sup>7</sup> Panel D had the highest number of monograph submissions, with 8,513 books submitted.<sup>8</sup> Thirty-nine publishers had 20 or more books submitted (5,232 books, or 61.4% total) with 46% of all books submitted from just ten publishers (3,926 books).<sup>9</sup>

The total number of publishers returned to Panel D was 1,180, indicating the extremely long tail of publishers whose works were submitted to REF 2014 (Tanner, 2016).

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<sup>7</sup> Units of Assessment (UOA) included in Main Panel D for REF2014 were: Area Studies; Modern Languages and Linguistics; English Literature; History; Classics; Philosophy; Theology and Religious Studies; Art and Design: History, Practice and Theory; Music, Drama, Dance and Performing Arts; Communication, Cultural and Media Studies, Library and Information Management.

<sup>8</sup> Books refer to monographs, edited collections, and scholarly editions.

<sup>9</sup> The top ten most submitted publishers to Main Panel D in REF2014 were: Oxford University Press; Palgrave Macmillan; Cambridge University Press; Routledge; Ashgate; Manchester University Press; Edinburgh University Press; Continuum International Publishing; and Bloomsbury Publishing.

<b>Output</b>	<b>Number of submissions</b>	<b>% of Panel D submissions</b>
Journal articles	15,749	40.0
Monographs	6,477	16.5
Edited books	1,688	4.3
Scholarly editions	348	0.9
Other outputs	15,088	38.3

As noted by the *Academic Book of the Future* project (2017), REF panels are required to be format and publisher neutral in their assessment of institutional outputs. Around half of academics generally seek publication with larger, more traditional publishers, a trend that is reflected in REF2014 data. The prestige that these presses bring is still valued, despite the instructions to REF panels (Deegan, 2017). However, while their merit is recognised by academics, it is the smaller presses that ‘complete the picture’ (London Economics, 2015), with more than half of the books returned to the REF2014 published outside of the top ten presses. Authors are not just driven by prestige: other factors such as ease of engagement, past experiences, and the influence of learned societies in a particular discipline all play a role when deciding who to publish with. Other deciding factors include the strength of a publisher’s list in the author’s subject area, publishing as part of a well-established and highly regarded series, and the level of editorial and marketing that a publisher will provide.

### *Downloads*

Downloads are one of the key measures of success for OA books, providing a way to evaluate their reach. As the number of OA publications has increased, so has the amount of available data. So far it shows very encouraging evidence that OA books are used in much greater numbers than the average number of print sales typically quoted by scholarly presses (around 200 copies globally in a book’s lifetime).

## *Open access monographs: report and recommendations*

Reports and statistics have been published by a number of different publishers and organisations including OAPEN, Knowledge Unlatched and JSTOR (service providers) and publishers (Open Book Publishers, Springer Nature, UCL Press, Michigan University Press, Cornell University Press and California University Press).

Because download statistics are measured in several different ways – including online views, full book downloads and chapter downloads – and using different systems – some COUNTER compliant and some not, and via Google Analytics and/or the publisher or platform’s own statistics system – it can be difficult to compare like with like. There is currently no single source to compare historic statistics, and it should also be noted that download figures alone do not tell the whole story. The publisher’s marketing efforts, for example, can also make a big difference to download figures, and there are inevitably high-performing titles that can skew the averages. That said, the overall trend shows much higher use of OA books than the typical print sales reported by traditional publishers.

Collaborative organisations such as OPERAS are working on ways of standardising the collection and analysis of such metrics, as part of projects such as [HIRMEOS](#). Most recently, in June 2018, the Book Industry Study Group in the USA announced a new study funded by the Andrew W. Mellon Foundation and to be undertaken by the BISG in collaboration with Knowledge Unlatched Research and the universities of Michigan and North Texas, to identify the challenges in understanding the usage of OA ebooks, suggest some opportunities for resolving them, and create a framework for future action through [community consultation](#).

Some examples of reported download figures include:

- [Open Book Publishers](#) report over 400 visits per month per title.
- [Knowledge Unlatched](#) reported in 2015 that the titles released in its launch in 2013 had reached an average of 3,000 downloads each.
- [OAPEN](#) reported in 2015 that the 3,376 OA titles hosted on its platform achieved 1,103,516 downloads.
- [Springer Nature](#) reported in November 2017 that download rates from the SpringerLink website are seven times higher for the OA titles than the non-OA titles.

- [UCL Press](#) reported in May 2018 that the 80 books it had published since June 2015 had been downloaded or viewed over one million times.

### *Discoverability on DOAB*

The Directory of Open Access Books (DOAB) provides an online database to increase the discoverability of OA books and to indicate a level of scholarly quality, based on criteria for acceptance set by DOAB. Publishers are invited to provide metadata of their OA books to DOAB in order to maximise dissemination, visibility and impact. The books themselves can be hosted in OAPEN ([www.oapen.org](http://www.oapen.org)). The directory is open to all publishers who publish academic, peer reviewed books OA ([www.doabooks.org](http://www.doabooks.org)).

Out of the three largest countries that participated in the recent knowledge exchange study on OA monographs (2017), the UK falls behind its peers with only 594 OA books listed on DOAB. In comparison, Germany has almost double this figure with 1094, with 1069 OA books available from France. The Netherlands has 525 OA books on DOAB.

In the UK, the top four publishing companies produced nearly 7,000 monographs in 2017 while only accounting for 94 of the 594 UK OA titles in DOAB (Knowledge Exchange, 2017).

<b>Publisher</b>	<b>Monograph output 2017</b>	<b>OA monographs listed in DOAB (total)</b>
Oxford University Press	1000	32
Cambridge University Press	650	7
Routledge	3000	10
Palgrave (Springer Nature)	2000	45
<b>Total</b>	<b>6650</b>	<b>94</b>

There is potential for further work to be done in this area, particularly around understanding the number of books published by UK authors (in comparison to books published in the UK).

## UNDERSTANDING THE CHALLENGES FOR OPEN ACCESS ACADEMIC BOOKS

### *Financial*

Book processing charges (BPCs), the equivalent of the journal APC, are charged to authors by many publishers (although not all), to cover various aspects of the publishing costs. The charges and what they include vary from publisher to publisher depending on their business model. BPCs are commonly seen as a barrier to OA for academic books because funding is not widely available in the arts, humanities and social sciences to pay for BPCs.

At the moment it is not clear where the responsibility for covering these costs will lie – with the funder or the author’s institution, or the author (for independent researchers). There is a risk that if the costs of OA publications fall solely on higher education institutions, then authors employed by more wealthy institutions will have greater opportunities for publishing OA than those employed by less rich, or teaching-intensive universities, or of no institution.

There are also questions over the long-term sustainability of BPCs and whether they are the best and only route for funding OA monographs. Several projects and publishers in the UK, Europe and the United States are actively seeking alternative means of funding OA monographs. The following table shows the costs currently charged by a range of publishers; for a full list of publishers that offer OA options visit the [AOASG website](#). Most recently, in June 2018, a [substantial grant](#) was made to University of North Carolina Press by the Andrew W. Mellon Foundation to explore alternative workflows for certain categories of monograph to identify potential for cost-savings.

Furthermore, any move to OA should provide appropriate assurances to authors that any mechanism for distributing funds for OA academic books ‘does not constrain them in their choice of topic and outlet’ (BA, 2018). Maintaining author choice is vital in an OA landscape. A sample of publisher OA costs is provided below (as of Spring 2018):

Cambridge University Press	£9,500 +VAT for a monograph of up to 120,000 words
Manchester University Press	£9,850 +VAT for a monograph up to 120,000 words
Open Book Publishers	£3,500
Palgrave Macmillan	£11,000 + VAT
SAS Digital Humanities Library	£5,000 Free for early career researchers submitting to 'New Historical Perspectives'.
SpringerOpen	Approx. \$15,000 per title
Ubiquity Press	£4,480 - £6,900 for a monograph up to 100,000 words
UCL Press	£5,000 for a monograph up to 100,000 words

### *Cultural*

At an institutional level, prestige barriers such as hiring, promotion and reputation mean that researchers often aspire to a small set of conventional and traditional publishers. The importance of peer review and publisher brands remains important to academics and their careers, even when rigorous OA publishing options already exist elsewhere. Engagement with academics is crucial for new monograph publishers to obtain reputation and credibility, and Crossick suggests that establishing prestigious boards and panels of peer reviewers is one way to overcome this challenge (2015).

Reports continue to indicate a preference for print (Crossick, 2015; Deegan, 2017) but high download figures appear to demonstrate that many readers are happy to work with a digital version – especially when it is free.

### *Third-party rights and trade books*

Drama, music, and art history (among others) often rely on third-party permissions for the use of text and/or images which may have high fees associated with them. There are currently no standard charging models in place for OA monographs. Rights owners may be concerned about the potentially high circulation of OA books and can sometimes charge more accordingly. Furthermore, crossover and creative works often provide the most impact to non-academic audiences; they are also the ones most dependent on commercial sales, and hard copies of such texts may still be more likely to reach their intended audiences than online editions.

### *Significant open access activity and developments*

The last two to three years in particular have seen an increase in OA publishing activity and services, with new presses opening, as well as existing presses in the UK, Europe and the United States starting to offer OA publishing options. Europe and the United States have also seen new initiatives bringing together publishers, libraries and universities, and pan-European collaborative ventures involving many publishers and institutions. This review describes the most significant of these ventures, as well as some of the now well-established OA publishers and services from around the world. Chapter 7 of the Knowledge Exchange Study on the OA monograph landscape (number 3 in the literature review below) is also devoted to new OA initiatives and developments across Europe, and the JISC report *Changing Publishing Ecologies* (number 3 in the literature review below) goes into detail about the many new OA university presses and academic-led presses that have been established in the UK recently, therefore these are not described individually here.

#### 1. [Knowledge Unlatched](#)

Knowledge Unlatched (KU) launched in 2013 using a library crowdfunding model to support select titles to be made OA. It started with a pilot of 28 titles, then increased to over 70, and its 2016 'collection' consists of 343 titles from 54 publishers, both frontlist and backlist. The scheme enables publishers to submit books they plan to publish to KU for consideration. A team of librarians chooses titles they wish to include in a collection, and KU seeks pledges from libraries to support that collection. KU then pays a fee to the publisher – this is usually between €7,000 and €9,000 per frontlist title, although less is paid for backlist titles. Recently, KU has launched a new model in which it seeks library pledges to support a publisher's wider activity. It is using this model with Language Science Press and Luminos.

2. [JSTOR Open Access monographs](#)

JSTOR, the large-scale digital library of books, journals and primary sources, launched the OA monograph area of its platform in October 2016. It launched with OA monographs from four university presses: University of California Press, Michigan University Press, Cornell University Press and UCL Press. Initially JSTOR charged \$125 per monograph in perpetuity, which covers the ingest into their platform, indexing, preservation and delivery at chapter level, but that charge has been waived for 2017 and 2018 in order to encourage presses to load books and to enable the presses and JSTOR to learn as much as possible about usage. Since launching, twenty other publishers have joined, including ANU Press and the RAND Corporation. The first four publishers to join have seen a marked increase in the usage of their books, which has been the subject of a study by KU Research, the findings of were published in November 2017. JSTOR open monographs is an example of an existing supply chain platform moving into the OA space, and its established market presence offers an appealing model for OA publishers seeking to access existing audiences. Discoverability has always been a key concern for OA publishers, and models such as this one offer an encouraging solution.

3. [Ingenta Open](#)

Ingenta Connect is a journals platform hosting thousands of journals from over 300 publishers, a small proportion of which are already OA. It has recently established an OA platform for new and existing monograph publishers.

4. [Open Access in the European Research Area through Scholarly Communication](#)

OPERAS is a consortium of over 30 European partners – university libraries, university presses and other OA services – led by Open Editions, a French OA monograph and journal platform. It has already received significant funding from Horizon 2020 to establish improved standards and pan-European shared infrastructure for OA publishing in humanities and the social sciences (HSS) via the HIRMEOS and OPERAS-D projects. Its aim is to bring together publishers who currently operate in a disparate and isolated way, to improve the quality of, and accessibility, to HSS research from across Europe in a range of languages. OPERAS counts among its partners some of the key UK OA initiatives: Knowledge Unlatched, Ubiquity Press, Open Library of the Humanities, Open Book Publishers and UCL Press.

5. [TOME \(Towards an Open Monograph Ecosystem\) – AAUP, ARL, AAU](#)

TOME (previously known as OAMPI – Open Access Monograph Publishing Initiative) is a scheme devised by the Association of American University Presses, the Association of Research Libraries and the Association of American Universities. Universities participating in the scheme commit to contributing three grants of \$15,000 each per year for five years, to pay for the publication of research monographs by members of its faculty with a reputable scholarly press which can be chosen by the recipient of the grant. So far 14 institutions have committed to contribute to this initiative and 57 publishers have signed up to receive grants to publish works under the scheme. The scheme will support the publication of around 210 research monographs over five years and it is hoped that institutional membership will increase. The scheme is intended to demonstrate institutional support for arts, humanities and social sciences (AHSS) scholars and for university presses in the context of lack of funding for AHSS, and dwindling print sales for scholarly monographs.

6. [Lever Press](#)

Lever Press is a consortium of the libraries of over 40 liberal arts colleges in the United States established in 2016, who have contributed over \$1 million over five years towards establishing an OA press. They are working with University of Michigan Press and Amherst College Press to provide the acquisitions, editorial, production and distribution of the published works. The Lever Press has formed an advisory board to oversee the strategic development of the Press over the coming years.

7. [Janeway – new open source publishing software, Birkbeck Centre for Technology and Publishing, August 2016](#)

Janeway was launched in August 2016 and provides an open source platform for all aspects of publishing OA books and journals, including a submission system, a peer-review management workflow, Crossref digital object identifier (DOI) integration, OAI (Open Archives Initiative) feeds, Open Journal Systems import mechanisms, and much more. It has recently been adopted by Huddersfield University Press.

8. [Australian National University \(ANU\) Press](#)

ANU Press was established in 2003 (under the name ANU E Press) to explore the options offered by the emerging e-publishing technology for the Australian National University's academic output. Taking advantage of new information and communication technologies to make available the intellectual output of the ANU academic community, ANU E Press was Australia's first primarily electronic academic publisher. Now a globally recognised leader in OA academic publishing, ANU produces fully peer-reviewed monographs and journals across a wide-range of subject areas. ANU Press recognises the need to create a mechanism for disseminating high-quality scholarship that lacks a readily commercial market, and recognises that emergent electronic press technologies offer a feasible alternative to the conventional academic press in terms of costs and available infrastructure. To date, ANU have published over 750 titles as e-books and Print-on-Demand (PoD) books. In 2017, they reached 2.7 million downloads, comprising of readers from almost every country in the world.

9. [Luminos – University of California Press, 2015](#)

University of California launched Luminos, their OA platform, in 2015. It has developed a model of sharing the upfront costs of publication between those who benefit – the author, institution, publisher and libraries – to avoid the burden of costs falling on one party only, thereby aiming to make it more sustainable. Since its launch it has published nearly 50 books in this model.

10. [MUSE Open announcement, 2016](#)

Johns Hopkins University Press, which runs the journals and books platform Project MUSE, announced in 2016 that it had received \$938,000 from the Andrew W. Mellon Foundation, to develop MUSE Open, a new initiative to host OA monographs on its Project MUSE site.

11. [OpenEdition](#)

Although not a recent development, it is worth including OpenEdition in this survey due to their interesting model and well-established processes. OpenEdition is an OA platform for scholarly books, journals and blogs which is based in France and which mainly serves European publishers. It works under a 'freemium' model whereby a basic service is available for free online, but a premium is charged for advanced features and functionality. It is based on a hybrid economic model combining OA to information and paid services generating income for the producers of its resources.

Libraries and publishers fund the project to create a sustainable alliance to promote OA in the humanities and social sciences. Two-thirds of income is allocated to those journals and partner publishers who adopt the freemium model. The other third enables development of the platform. All income created by OpenEdition Freemium is then reinvested in the development of OA academic publishing.

## 12. [OAPEN](#)

OAPEN is a European platform dedicated to OA, peer-reviewed books. OAPEN operates two platforms, the OAPEN Library, a central repository for hosting and disseminating OA books, and the [Directory of Open Access Books](#) (DOAB), a discovery service for OA books. OAPEN works with publishers to build a quality-controlled collection of OA books, and provide services for publishers, libraries and research funders in the areas of dissemination, quality assurance and digital preservation. It was founded in 2008 and now hosts over 4,000 books by different publishers. It provides COUNTER compliant statistics for hosted content and in total, its books have been downloaded over 6 million times (at June 2018).

## 13. [DOAB. Directory of Open Access Books](#)

The primary aim of DOAB is to increase discoverability of OA books. Academic publishers provide metadata of their OA books to DOAB, which is harvestable in order to maximize dissemination, visibility and impact. Aggregators can integrate the records in their commercial services and libraries can integrate the directory into their online catalogues, helping scholars and students to discover the books. The directory is open to all publishers who publish academic, peer reviewed books in OA. DOAB is managed by the OAPEN Foundation (see above), and it contains metadata for over 12,000 books from 278 publishers.

## 14. [Ubiquity Press](#)

Ubiquity Press was founded in 2012 as an OA publisher of peer-reviewed books and journals. In addition to acting as a publisher, it also offers a Publishing Partner Network that provides infrastructure and services to new OA university presses. It currently supports 22 publishers and institutions or departments running OA publishing services.

15. [Open Library of the Humanities](#)

Open Library of the Humanities was founded in 2015 to provide OA publishing for journals in the arts, humanities and social sciences using a library partnership subsidy model to provide gold OA without author-facing charges, or APCs. Founded by Martin Eve and Caroline Edwards at Birkbeck University London, the initiative was initially funded by an Andrew W. Mellon grant. It now publishes over 20 journals and works with university presses and academics to help them flip journals to an OA model.

16. [Open Book Publishers](#)

Founded in 2008, Open Book Publishers was one of the earliest fully OA publishers to start up in the UK. It was established by Cambridge University academic Rupert Gatti, and since launching it has published over 125 books (at June 2018), making it the largest fully OA academic publisher in the UK.

## **OPEN ACCESS MONOGRAPHS LITERATURE REVIEW: RECENT MAJOR REPORTS AND NEW AWARDS**

There have been several landmark reports produced for the government and funders offering recommendations for OA to research (Finch, 2012; Crossick, 2015; Tickell 2016), and examining in detail the challenge for OA to monographs in particular (Crossick).

In 2016 and 2017 several significant new reports on OA for monographs and on scholarly publishing more generally appeared, and this literature review focuses on large-scale, funded reviews published in the last two years. To note, chapter 9 of the Knowledge Exchange Landscape Study on OA Monographs (number 3 below) is devoted to a literature review.

1. [\*Untangling Academic Publishing: A history of the relationship between commercial interests, academic prestige and the circulation of research\*](#) – Aileen Fyfe et al (June 2017)

This report describes the history of scholarly publishing from the nineteenth century to the modern era of OA, examining the current ‘crises’ in affordability of journals and books, and the controversy over commercial publishers’ profits. It provides a timely reminder that in the post-WWII evolution of scholarly publishing, learned societies saw dissemination of research results as simply a part of their essential activity with no expectations of profit. Many copies of journals were freely distributed to public, academic and scholarly subscription libraries.

Key recommendations from the report:

- Institutions should offer direct support for non-profit publishers or establish their own publishing ventures (as several universities have recently done).
- Such efforts also need to reassure researchers that their work will be judged on its own merits, rather than on brand recognition of journals or publishers.
- University leaders should recognise that they are the funders of a large proportion of research in AHSS and that universities should shoulder the responsibility for making academic work in those fields known more widely.

- Policy for future academic publishing should focus on enabling OA to ensure free access to publicly funded research. It should be innovative and should not seek to protect the commercial business model of the mid-to-late twentieth century.

**2. *Open Access Book Publishing 2016-2020 – Simba Information (October 2016)***

The Simba Report, aimed primarily at the multinational publishing community, covers science, technology and mathematics (STM) and humanities and social science (HSS) publishing from a global perspective. The forecasts made in the report estimate annual growth in the OA ‘market’ by 30% and suggest that funds will be found for BPCs either from research funders or other sources such as Knowledge Unlatched and Lever Press. The report bases its 2016 to 2020 forecasts on trends such as the growth of books coming on-stream in DOAB, the willingness to experiment with new business models, and the likelihood of one or more of the larger companies (such as Springer Nature or Informa) finding ways of funding OA. The Simba Report also predicts that once funders extend their mandates to books and book chapters this will provide a lift to STM OA books. Overall the report is optimistic about the growth of OA and books, and while growth will start from a low base globally, it sees European growth to be greater than elsewhere.

**3. *Monographs and open access – Geoffrey Crossick (2015)***

Commissioned by the former Higher Education Funding Council for England (HEFCE), the report highlights the importance of the monograph as an important and distinctive vehicle for research communication. The report found that there are clear benefits to extending OA to books, but substantial complexities involved in doing so. The report recommended that funders develop policies to encourage moves towards OA for monographs, but also set out in detail the issues that would need to be tackled before OA monographs could become widespread. It concludes that:

- OA offers both short and long-term advantages for monograph publication and use; many of these are bound up with a transition to digital publishing that has not been at the same speed as that for journals.
- There is no single dominant emerging business model for supporting open-access publishing of monographs; a range of approaches will coexist for some time and it is unlikely that any single model will emerge as dominant.

- Printed books will continue to be preferred for extensive reading and may form a part of many future business models; they will therefore continue to a considerable extent to be available alongside their open-access versions.
- The report also highlighted particular challenges around the open licensing of monographs, the inclusion of third-party copyrighted material in monographs, and the technicalities of digital book publishing, all of which would need to be treated with appropriate flexibility in designing policies to encourage OA (HEFCE, 2015).

4. [\*A landscape study on open access and monographs: policies, funding and publishing in eight European countries\*](#) – Frances Pinter, Eelco Ferwerda, Niels Stern (September 2017)

This report from Knowledge Exchange is the biggest landscape study yet on the conditions and potential for OA books. The report focuses on eight different countries (Denmark, Finland, Germany, Netherlands, United Kingdom, France, Norway and Austria) to understand the developments among three key stakeholder groups: publishers, funders and libraries. The importance of author attitudes, scholarly reward and incentive systems is also raised throughout the study via numerous interviewees. The study shows that although the main national OA policies do not include monographs, conversations about OA and monographs are surfacing and are expected to accelerate over the next few years. The general explanation for monographs not being included in national policies is the global focus on journal publishing, and the perception that monographs are more complex to deal with than journals. Some of the key findings include:

- There is substantial funding that could be re-routed in various ways to pay for the publishing of books more efficiently, although the report authors recognise that this involves complex operational changes.
- This is especially the case in Europe, where academic monographs are already often funded, and that funding could move to fund OA.
- No single model will fit all, and there is no scenario for a perfect transition. The authors do not expect all monographs to go OA, but they see a number of ways in which OA for books can be encouraged further.

- Monograph sales are steadily declining, destabilising academic book publishers, raising barriers for early career authors, and undermining the monograph as a valuable form of scholarly output, thereby reducing scholars' choice of output.
- Despite varying levels of support for OA monographs, the chief obstacle in moving forward is funding, and the re-routing of existing funds is especially challenging. A key to moving forward will be support from university administrators, including top-level librarians.

5. [\*Changing Publishing Ecologies: A landscape study of new university presses and academic-led publishing\*](#) – A report to Jisc by Janneke Adema and Graham Stone (2017)

In the last ten years a number of new scholarly presses have sprung up: some at universities, and some led by academics. This report assesses the current level of activity in this regard, and the number of universities that are planning to set up a press. The report also addresses the challenges faced by small-scale publishers, and the type of support – practical and financial - that they might need to develop and sustain their operations in the future to meet the expected increase in demand for OA monographs from funders, policy makers, institutions and authors. The report makes clear that a lot of informal scholarly publishing takes place at institutions 'under the radar', often run by very small numbers of library staff or by academics alongside their existing roles, exacerbating the challenges of scaling up.

6. [\*The Academic Book of the Future\*](#) – Marilyn Deegan and Michael Jubb (2017)

This two-year study reviewed the scholarly publishing network, and includes input from key stakeholders, including academics, funders, policy makers, university libraries, booksellers, publishers and the industry supply chain that supports the scholarly publishing industry. Funded by AHRC and supported by The British Library, the report is divided between a general overview of scholarly publishing developments, and a more specialist report on the scholarly publishing supply chain. Its aim was to assess the developments, requirements and challenges for stakeholders in a time of immense change, including changing funder requirements, OA, digital publishing developments, ever-decreasing print sales, and non-commercial outputs operating in a commercial world.

The report found that print sales of scholarly monographs have seen a decrease to on average 200 copies, and poses the question whether publishing monographs can remain viable in such circumstances. The report identifies some digital innovation, but does not see this as a scalable activity. Another significant output from the Academic Book of the Future project was [a report on scholarly publishing](#) in North America by Anthony Watkinson.

7. *OAPEN-UK and Investigating Open Access Monographs – Jisc/AHRC, 2016*

[OAPEN-UK](#), funded by Jisc and the AHRC, was [a five-year study into OA monograph publishing in the humanities and social sciences](#). The study aimed to provide an evidence base to underpin other organisations' policies, projects and plans for OA monographs. The project produced a number of outputs, such as a guide to [Creative Commons](#) licenses and an [author guide to publishing OA monographs](#). Key recommendations from the study were:

- Plurality – the need for a plurality of flexible business models rather than a one-size-fits-all approach.
- Partnerships – collaboration, including cross-stakeholder partnership, to support the effective production, dissemination and discoverability of OA content.
- Pellucidity – understanding and recognition of what is important to each stakeholder.

The Investigating OA monograph services project was a follow-up project to OAPEN-UK. Releasing its [final report](#) in October 2016, the project also produced [a guide on metadata for OA monographs](#), and [a guide](#) recommending information that OA monograph publishers should provide on their websites to make their service clear to end users. OAPEN and DOAB also use these guides as criteria for publishers that want to join.

8. [\*The Costs of Publishing Monographs: Toward a Transparent Methodology\*](#) – Nancy L. Maron, Christine Mulhern, Daniel Rossman, Kimberly Schmelzinger (February 2016)

This report identifies the numerous challenges faced by the university press, with revenues under pressure due to a host of factors. Over recent years, certain forces have emerged and intensified – federal mandates for OA, declining sales reach, and the desire of university presses to build a greater audience for scholarly works – encouraging university presses to seriously consider what it would take to make their scholarly monographs openly available. This study, funded by the Mellon Foundation, worked with a number of US university presses and over 400 monographs to evaluate their publishing costs. Assessing all types of costs involved in the publishing process, including staff costs, overheads, direct costs and ‘in-kind’ costs, the results showed a range from \$15,140 to \$129,909 per monograph. One of the outcomes of the report was the development of [a free monograph costing toolkit](#).

Other reports such as the OAPEN study of 2010 suggest the cost of an OA academic book is around €12,000.

9. [\*Reimagining the Digital Monograph: Design Thinking to Build New Tools for Researchers\*](#) – Alex Humphreys, Christina Spencer, Laura Brown, Matthew Loy, Ronald Snyder (June 2017)

JSTOR issued the white paper [\*Reimagining the Digital Monograph\*](#) to address community-driven research and to make recommendations for improving the user experience of digital monographs. The paper offers insights into the ways in which researchers access research material and use it, and some of the frustrations they experience. This white paper fed into the development of the JSTOR OA monograph platform, which aims to make digital monographs more discoverable, accessible and usable by readers than flat PDFs, and more widely available than print. The platform delivers OA monographs chapter by chapter, has a high level of keyword tagging. Works are indexed among JSTOR’s general content so they are easily discoverable to a large audience. Further details about the platform can be found above in the OA activities and developments section.

10. [\*The OA effect: How does open access affect the usage of scholarly books?\*](#)

– Springer Nature white paper (November 2017)

This report benchmarks the performance of Springer Nature (SpringerOpen and Palgrave Macmillan) OA books against equivalent non-OA books, using data from SpringerLink and Bookmetrix. Interviews with 12 authors and five funders showed that increased visibility and wide dissemination of research are the most common motivations behind the publishing and funding of OA books. For them, OA is not just a publishing model but also a means of addressing the issue of equal access to knowledge and ensuring that publicly funded research is available to all. Both authors and funders acknowledged feeling insufficiently informed about the implications of publishing books OA, and about how to measure impact, despite bibliometrics tools being at their disposal. There is a clear need for publishers to better communicate the effect of OA on their books. Key findings from the report include:

- Downloads: On average, there are just under 30,000 chapter downloads per OA book within the first year of publication, which is 7 times more than for the average non-OA book.
- Citations: Citations are on average 50% higher for OA books than for non-OA books, over a four-year period.
- Online mentions: OA books receive an average of 10 times more online mentions than non-OA books, over a three-year period.

11. [\*The Future of Scholarly Publishing\*](#) – Peter Weingart and Niels Taubert (eds.) (July 2017)

Originally published by De Gruyter in German, this book is based on a study conducted for the Berlin-Brandenburg Academy of Sciences and Humanities to analyse the future of scholarly publishing and to make recommendations on how to respond to current challenges. The formal scientific communication system is currently undergoing significant change. This is due to four developments: the digitisation of formal science communication; the economisation of academic publishing as profit drives many academic publishers and other providers of information; an increase in the self-observation of science by means of publication, citation and utility-based indicators; and the popularisation of science as its observation by the mass media intensifies.

12. [\*Mapping the Free E-book Supply Chain: Final Report to the Andrew W. Mellon Foundation\*](#) – Charles Watkinson, Rebecca Welzenbach, Eric Hellman, Rupert Gatti, Kristyn Sonnenberg (June 2017)

This is the report of a project (funded by the Andrew W. Mellon Foundation) that sought to understand how OA books are found, acquired and used. It focuses on whether free e-books are succeeding in extending the reach of scholarly literature to users who might not otherwise encounter or be able to access it. Using a sample of 120 books published by Open Book Publishers (OBP) and University of Michigan Press (UMP) (including some Open Humanities Press books), the team analysed the discovery and impact of these books.

Highlights of the study's results include:

- the importance of social media in OA book discovery
- the low importance of the library catalogue as a source of discovery, and the problems with metadata
- clear evidence of the reach of OA books to educated lay readers outside the academy
- variability in the presentation of download statistics due to the different ways in which digital books are served up and accessed, making it very difficult to aggregate data
- the low level of OA in the wider marketplace of scholarly material – c. 5% - making it hard for commercial aggregators to justify the investment required in developing OA models
- mapping of OA in metadata between ONIX and MARC records remains patchy, hampering discoverability

13. [\*Exploring usage of open access books via the JSTOR platform: A report for the university presses of California, Cornell, Michigan and UCL\*](#) – KU Research by Frances Pinter, Lucy Montgomery, Neil Saunders and Alkim Ozaygen (November 2017)

The first four publishers to place their books on the JSTOR OA Monographs platform saw a significant increase in usage compared with other OA platforms. These publishers – the university presses of Cornell, California Michigan and UCL – commissioned a report from Knowledge Unlatched Research on the usage data to

learn more about the reason for this increase, the source of traffic and the ways in which readers were using the books. The key findings show that a significant number (34%) find the books when they are already in the JSTOR platform, and around 25% come via external sources. A high number of the users in institutions come from the Global South. In terms of reader behaviour, the vast majority of readers (over 90%) view just one chapter in a book, a pattern which offers useful insights into the way readers find and use digital monographs. The high level of usage of books on JSTOR experienced by these publishers offers evidence for publishers' dissemination strategies for OA monographs – placing books on the platforms where large numbers of readers are searching anyway is a logical first step to discovery.

14. [\*The visibility of open access monographs in a European context: Full report\*](#) – Cameron Neylon, Lucy Montgomery, Alkin Ozaygen, Neil Saunders and Frances Pinter (January 2018)

This report explores the extent to which OA specialist scholarly books can be seen by the communities that might make use of them. It also identifies the key challenges that will need to be tackled to ensure that OA books are fully integrated into digital landscapes of scholarship; as well as the steps that need to be taken to achieve this goal. The report focuses on OA books made available by publishers and platforms that are part of the OPERAS network, which is focused on the development of European research infrastructure for the development of open scholarly communication.

15. [\*The impact of open access on scientific monographs in Switzerland: A project conducted by the Swiss National Science Foundation \(SNSF\)\*](#) – Eelco Ferwerda, Ronald Snijder, Brigitte Arpagaus, Regula Graf, Daniel Krämer and Eva Moser (April 2018)

This is a report of a pilot project that was designed to investigate whether OA had an effect on the visibility, use, reach and sales figures of monographs. The project found that:

- OA had a statistically positive influence on the tracking and visibility of monographs on the online platforms used (these were the Swiss National Library, an institutional repository, OAPEN Library and Google Books).

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- Makin monographs OA in the OAPEN library increased international reach, with at least one download of at least one pilot book registered in a total of 136 countries.
- OA had a statistically significant influence on the use of monographs, including number of book visits, page views, and downloads.
- OA did not have a negative influence on the sales figures for printed books. OA also did not result in a positive impact on sales figures.

Stakeholder surveys carried out as part of the project found that authors were largely supportive of OA, although they still had little personal experience with publishing OA academic books. Authors were in favour of measures to ensure the quality of peer review processes; likewise, publishers perceived quality assurance as a key element of OA publishing. Representatives from the publishing community adhered to a dual business model, with printed and digital editions of a monograph published side by side.

16. [\*New award made by the Andrew W. Mellon foundation to study OA books metrics – Book Industry Study Group \(USA\) \(June 2018\)\*](#)

The BISG (Book Industry Study Group) announced in June 2018 that it had received a grant from the Andrew W. Mellon Foundation to convene a structured community conversation focused on improving usage and engagement tracking for OA ebooks. Because of differences in the supply chain, information about the impact of academic ebooks, especially OA books, is much more difficult to gather, analyse, and communicate than comparable information about electronic journals. This funded project will bring together researchers from Knowledge Unlatched Research and the universities of Michigan and North Texas, to identify the challenges in understanding the usage of OA ebooks, suggest some opportunities for resolving them, and create a framework for future action through community consultation. It will focus on the challenges of identifying and aggregating relevant information from different platforms, analysing what has been gathered in ways that respect user privacy, and communicating relevant information about usage to stakeholders. As well as looking at usage metrics, the researchers will explore indicators of engagement such as altmetrics. An important objective is to connect strands of research currently being conducted separately in the United States and Europe, by both for-profit and non-profit entities.

17. [University of North Carolina Press receives \\$950,000 from the Andrew W. Mellon Foundation to study workflows and costs for open access monographs – Longleaf Services, Inc. \(June 2018\)](#)

This significant award was made to the University of North Carolina Press to explore alternative workflows and their impact on production costs and distribution channels for OA history monographs. The study aims to address the challenges of funding OA monographs that follow traditional workflows, to discover whether alternative workflows can deliver savings in order to help a wider transition to OA for certain types of monograph.

## **SYNTHESIS OF REPORT FINDINGS**

Key findings and recommendations from the literature review are detailed below. It should be noted that this is not a list of recommendations put forward by the Universities UK OA Monographs working group; rather, it is a synthesis of the outcomes from the reports in order to highlight some of the observations and practical solutions of delivering OA for monographs.

Engagement with the academic community – learned societies and subject associations in particular – is essential in the progression of the open research agenda for monographs. Funders, policy-makers and key stakeholders should ensure that positive evidence about OA usage outside of the academy is widely communicated. As demonstrated in the OA report from Springer Nature (2017) OA academic books have more downloads and more citations than their traditional counterparts; yet, the breadth of discoverability and the impact of OA is yet to be determined. Presses who publish OA monographs should develop and implement efficient mechanisms to ensure that they are accessible not only from the publisher's site but via other platforms. Understanding how readers use and discover digital monographs is crucial for the future development of OA monograph publishing.

A wide choice of publishers is important to researchers and should be maintained in any transition to OA books. Fyfe et al. (2017), Jisc/AHRC (2016) and Jisc (2017) all make reference to innovative publishing routes emerging in OA, and suggest that new collaborations and ventures (with the supporting technical infrastructure) are considered among the potential solutions. Institutions may also wish to consider how they are able to sustain an open research agenda for academic books. For example, they could provide

support for non-profit publishers or establish their own presses; they should shoulder the responsibility for making AHSS research more widely known.

In order to progress this work, Jubb (2017) recommends that a formal structure should be established to assess the future of monographs in the academic world (including, but not restricted to the subject of OA). Chaired by a senior and authoritative figure in the arts and humanities community, this group should enhance dialogue across the different communities of the book, develop policies and strategies in ways that will secure the confidence of the key stakeholder groups, and commission further research where necessary. Crucially, the future of OA monographs depends on authors, institutions, funders and publishers working co-operatively to communicate new mainstream OA options that lead to improved discoverability and funding for OA books.

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